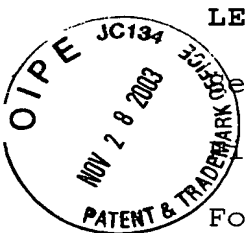


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Patent Application of:	)	Attorney Docket No.
LEI ET AL.	)	78079 10-478US
Serial No. 10/042,798	)	
Filing Date: JANUARY 9, 2002	)	
For: DYNAMICALLY TUNABLE RESONATOR	)	
FOR USE IN A CHROMATIC DISPERSION	)	
COMPENSATOR	)	

CITATION UNDER 37 CFR §1.97

Director, U.S. Patent and Trademark Office  
Alexandria, VA 22313

Sir:

Attached is a form PTO-1449 listing several references for consideration in the examination of the above-identified application. A copy of each reference is also enclosed. It is requested that these references be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR §1.97 and Section 609 of the MPEP.

This submission is made in accordance with the provisions of 37 CFR §1.97(c). Please charge the Deposit Account No. 50-1465 amount of \$180.00 to cover the processing fee. If any additional extension and/or fee is required, or if any additional fee for claims is required, authorization is given to charge Deposit Account No. 50-1465.



27975

PATENT TRADEMARK OFFICE

Respectfully submitted,

CHARLES E. WANDS  
Reg. No. 25,649

Telephone: (321) 725-4760

In re Patent Application of:  
**LEI ET AL.**  
Serial No. 10/042,798  
Filed: **JANUARY 9, 2002**

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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: DIRECTOR, U.S. PATENT AND TRADEMARK OFFICE, ALEXANDRIA, VA 22313, on this 24 day of November, 2003.

*Hester Legum*

Case No. **78079 10-478US**



**ASSISTANT COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313**


In re Application of: **LEI ET AL.**  
Serial No.: **10/042,798**  
Filed: **JANUARY 9, 2002**  
For: **DYNAMICALLY TUNABLE RESONATOR FOR USE IN A  
CHROMATIC DISPERSION COMPENSATOR**

Sir:

Transmitted herewith is an INFORMATION DISCLOSURE STATEMENT in the  
above-identified application.

1. ☐ This IDS is submitted under 37 C.F.R. ' 1.97. No fee is required.
2. ☒ This IDS is submitted under 37 C.F.R. ' 1.97(c). Authorization is given to  
charge Deposit Account **01-0484** in the amount of \$ 180.00.
3. ☐ This IDS is submitted under 37 C.F.R. ' 1.97(c) and (e). No fee is required.
4. ☐ This IDS is submitted under 37 C.F.R. ' 1.97(d) and (e). Authorization is  
given to charge Deposit Account **01-0484** in the amount of \$ 130.00 to cover  
the petition fee.
5. ☒ The Commissioner is hereby authorized to charge or credit any discrepancies  
in fee amounts to Deposit Account No. **01-0484**.

Date: **NOV 24 2003**

  
Charles E. Wands  
Reg. No. 25,649

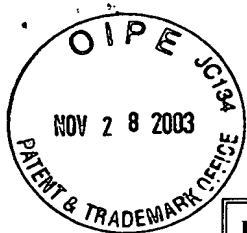


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Telephone: (321) 725-4760

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<b>Form PTO 1449</b>  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  Information Disclosure Statement by Applicant	<b>ATTY. DOCKET NUMBER:</b> 78079 (10-478 US)	<b>SERIAL NUMBER:</b> 10/042,798
	<b>APPLICANT:</b> LEI ET AL	
	<b>FILING DATE:</b> 10/042,798	<b>GROUP:</b> 2874

**U.S. Patent Documents**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED APPE
		5,238,845	Aug 24, 1993	Tancredi et al	G01N	33/72	
		5,557,468	Sep 17, 1996	Ip	G02B	5/04	
		6,081,379	Jun 27, 2000	Austin et al	G02B	1/10	
		6,141,130	Oct 31, 2000	Ip	H04B	10/16	
		6,289,151	Sep 11, 2001	Kazarinov et al	G02B	6/26	

**Foreign Patent Documents**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							Yes	No

**Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)**

		"A Tunable Dispersion Compensating MEMS All-Pass Filter", by C.K. Madsen, IEEE Photonics Technology Letters, Vol. 12, No. 6, June 2000
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>		